

§ 236.835 Trunking.

A casing used to protect electrical conductors.

§ 236.836 Trunnion.

A cylindrical projection supporting a revolving part.

§ 236.837 Valve, electro-pneumatic.

A valve electrically operated which, when operated, will permit or prevent passage of air.

§ 236.838 Wire, shunt.

A wire forming part of a shunt circuit.

APPENDIX A TO PART 236—CIVIL PENALTIES ¹

Section	Violation	Willful violation
Subpart A—Rules and Instructions—All Systems		
<i>General:</i>		
236.0 Applicability, minimum requirements	\$2,500	\$5,000
236.1 Plans, where kept	1,000	2,000
236.2 Grounds	1,000	2,000
236.3 Locking of signal apparatus housings:		
(a) Power interlocking machine cabinet not secured against unauthorized entry	2,500	5,000
(b) other violations	1,000	2,000
236.4 Interference with normal functioning of device	5,000	7,500
236.5 Design of control circuits on closed circuit principle	1,000	2,000
236.6 Hand-operated switch equipped with switch circuit controller	1,000	2,000
236.7 Circuit controller operated by switch-and-lock movement	1,000	2,000
236.8 Operating characteristics of electro-magnetic, electronic, or electrical apparatus	1,000	2,000
236.9 Selection of circuits through indicating or annunciating instruments	1,000	2,000
236.10 Electric locks, force drop type; where required	1,000	2,000
236.11 Adjustment, repair, or replacement of component	2,500	5,000
236.12 Spring switch signal protection; where required	1,000	2,000
236.13 Spring switch; selection of signal control circuits through circuit controller	1,000	2,000
236.14 Spring switch signal protection; requirements	1,000	2,000
236.15 Timetable instructions	1,000	2,000

APPENDIX A TO PART 236—CIVIL PENALTIES ¹—Continued

Section	Violation	Willful violation
236.16 Electric lock, main track releasing circuit:		
(a) Electric lock releasing circuit on main track extends into fouling circuit where turnout not equipped with derail at clearance point either pipe-connected to switch or independently locked, electrically	2,500	5,000
(b) other violations	1,000	2,000
236.17 Pipe for operating connections, requirements	1,000	2,000
<i>Roadway Signals and Cab Signals—</i>		
236.21 Location of roadway signals	1,000	2,000
236.22 Semaphore signal arm; clearance to other objects	1,000	2,000
236.23 Aspects and indications	1,000	2,000
236.24 Spacing of roadway signals	2,500	5,000
236.26 Buffing device, maintenance	1,000	2,000
<i>Track Circuits—</i>		
236.51 Track circuit requirements:		
(a) Shunt fouling circuit used where permissible speed through turnout greater than 45 m.p.h.	2,500	5,000
(b) Track relay not in de-energized position or device that functions as track relay not in its most restrictive state when train, locomotive, or car occupies any part of track circuit, except fouling section of turnout of hand-operated main-track crossover	2,500	5,000
(c) other violations	1,000	2,000
236.52 Relayed cut-section	1,000	2,000
236.53 Track circuit feed at grade crossing	1,000	2,000
236.54 Minimum length of track circuit	1,000	2,000
236.55 Dead section; maximum length	1,000	2,000
236.56 Shunting sensitivity	2,500	5,000
236.57 Shunt and fouling wires:		
(a) Shunt or fouling wires do not consist of at least two discrete conductors ..	2,500	5,000
(b) other violations	1,000	2,000
236.58 Turnout, fouling section:		
(a) Rail joint in shunt fouling section not bonded ...	2,500	5,000
(b) other violations	1,000	2,000
236.59 Insulated rail joints	1,000	2,000
236.60 Switch shunting circuit; use restricted	2,500	5,000

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APPENDIX A TO PART 236—CIVIL PENALTIES¹—
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Section	Violation	Willful viola- tion
<i>Wires and Cables—</i>		
236.71 Signal wires on pole line and aerial cable	1,000	2,000
236.73 Open-wire transmission line; clearance to other circuits	1,000	2,000
236.74 Protection of insulated wire; splice in underground wire	1,000	2,000
236.76 Tagging of wires and interference of wires or tags with signal apparatus	1,000	2,000
<i>Inspections and Tests; All Systems—</i>		
236.101 Purpose of inspection and tests; removal from service or relay or device failing to meet test requirements	2,500	5,000
236.102 Semaphore or search-light signal mechanism	1,000	2,000
236.103 Switch circuit controller or point detector	1,000	2,000
236.104 Shunt fouling circuit ..	1,000	2,000
236.105 Electric lock	1,000	2,000
236.106 Relays	1,000	2,000
236.107 Ground tests	1,000	2,000
236.108 Insulation resistance tests, wires in trunking and cables:		
(a) Circuit permitted to function on a conductor having insulation resistance value less than 200,000 ohms	2,500	5,000
(b) other violations	1,000	2,000
236.109 Time releases, timing relays and timing devices	1,000	2,000
236.110 Results of tests	1,000	2,000
Subpart B—Automatic Block Signal Systems		
236.201 Track circuit control of signals	1,000	2,000
236.202 Signal governing movements over hand-operated switch	1,000	2,000
236.203 Hand-operated cross-over between main tracks; protection	1,000	2,000
236.204 Track signaled for movements in both directions, requirements	1,000	2,000
236.205 Signal control circuits; requirements	1,000	2,000
236.206 Battery or power supply with respect to relay; location	1,000	2,000

APPENDIX A TO PART 236—CIVIL PENALTIES¹—
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Section	Violation	Willful viola- tion
Subpart C—Interlocking		
236.207 Electric lock on hand-operated switch; control:		
(a) Approach or time locking of electric lock on hand-operated switch can be defeated by unauthorized use of emergency device which is not kept sealed in the non-release position	2,500	5,000
(b) other violations	1,000	2,000
236.301 Where signals shall be provided	1,000	2,000
236.302 Track circuits and route locking	1,000	2,000
236.303 Control circuits for signals, selection through circuit controller operated by switch points or by switch locking mechanism	1,000	2,000
236.304 Mechanical locking or same protection effected by circuits	1,000	2,000
236.305 Approach or time locking	1,000	2,000
236.306 Facing point lock or switch-and-lock movement	1,000	2,000
236.307 Indication locking:		
236.308 Mechanical or electric locking or electric circuits; requisites	1,000	2,000
236.309 Loss of shunt protection; where required:		
(a) Loss of shunt of five seconds or less permits release of route locking of power-operated switch, movable point frog, or derail	2,500	5,000
(b) Other violations	1,000	2,000
236.310 Signal governing approach to home signal	1,000	2,000
236.311 Signal control circuits, selection through track relays or devices functioning as track relays and through signal mechanism contacts and time releases at automatic interlocking	1,000	2,000
236.312 Movable bridge, interlocking of signal appliances with bridge devices:		
(a) Emergency bypass switch or device not locked or sealed	2,500	5,000
(b) other violations	1,000	2,000
236.314 Electric lock for hand-operated switch or derail:		
(a) Approach or time locking of electric lock at hand-operated switch or derail can be defeated by unauthorized use of emergency device which is not kept sealed in non-release position	2,500	5,000
(b) other violations	1,000	2,000

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APPENDIX A TO PART 236—CIVIL PENALTIES¹—
Continued

Section	Violation	Willful viola- tion
<i>Rules and Instructions—</i>		
236.326 Mechanical locking removed or disarranged; requirement for permitting train movements through interlocking	1,000	2,000
236.327 Switch, movable-point frog or split-point derail	1,000	2,000
236.328 Plunger of facing-point	1,000	2,000
236.329 Bolt lock	1,000	2,000
236.330 Locking dog of switch and lock movement	1,000	2,000
236.334 Point detector	1,000	2,000
236.335 Dogs, stops and trunnions of mechanical locking	1,000	2,000
236.336 Locking bed	1,000	2,000
236.337 Locking faces of mechanical locking; fit	1,000	2,000
236.338 Mechanical locking required in accordance with locking sheet and dog chart ..	1,000	2,000
236.339 Mechanical locking; maintenance requirements	1,000	2,000
236.340 Electromechanical interlocking machine; locking between electrical and mechanical levers	1,000	2,000
236.341 Latch shoes, rocker links, and quadrants	1,000	2,000
236.342 Switch circuit controller	1,000	2,000
<i>Inspection and Tests—</i>		
236.376 Mechanical locking	1,000	2,000
236.377 Approach locking	1,000	2,000
236.378 Time locking	1,000	2,000
236.379 Route locking	1,000	2,000
236.380 Indication locking	1,000	2,000
236.381 Traffic locking	1,000	2,000
236.382 Switch obstruction test	1,000	2,000
236.383 Valve locks, valves, and valve magnets	1,000	2,000
236.384 Cross protection		
236.386 Restoring feature on power switches		
236.387 Movable bridge locking	1,000	2,000

Subpart D—Traffic Control Systems Standards

236.401 Automatic block signal system and interlocking standards applicable to traffic control systems:		
236.402 Signals controlled by track circuits and control operator	1,000	2,000
236.403 Signals at controlled point	1,000	2,000
236.404 Signals at adjacent control points	1,000	2,000
236.405 Track signaled for movements in both directions, change of direction of traffic ..	1,000	2,000
236.407 Approach or time locking; where required	1,000	2,000
236.408 Route locking	1,000	2,000

APPENDIX A TO PART 236—CIVIL PENALTIES¹—
Continued

Section	Violation	Willful viola- tion
236.410 Locking, hand-operated switch; requirements:		
(a) Hand-operated switch on main track not electrically or mechanically locked in normal position where signal not provided to govern movement to main track, movements made at speeds in excess of 20 m.p.h., and train or engine movements may clear main track	2,500	5,000
(b) Hand-operated switch on signaled siding not electrically or mechanically locked in normal position where signal not provided to govern movements to signaled siding, train movements made at speeds in excess of 30 m.p.h., and train or engine movements may clear signaled siding	2,500	5,000
(c) Approach or time locking of electric lock at hand-operated switch can be defeated by use of emergency release device of electric lock which is not kept sealed in non-release position	2,500	5,000
(d) other violations	1,000	2,000
<i>Rules and Instructions—</i>		
236.426 Interlocking rules and instructions applicable to traffic control systems	1,000	2,000
236.476 Interlocking inspections and tests applicable to traffic control systems	1,000	2,000

Subpart E—Automatic Train Stop, Train Control and Cab Signal Systems Standards

236.501 Forestalling device and speed control	1,000	2,000
236.502 Automatic brake application, initiation by restrictive block conditions stopping distance in advance	1,000	2,000
236.503 Automatic brake application; initiation when predetermined rate of speed exceeded	1,000	2,000
236.504 Operations interconnected with automatic block-signal system	1,000	2,000
236.505 Proper operative relation between parts along roadway and parts on locomotive	1,000	2,000
236.506 Release of brakes after automatic application	1,000	2,000
236.507 Brake application; full service	1,000	2,000

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APPENDIX A TO PART 236—CIVIL PENALTIES¹—
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Section	Violation	Willful viola- tion	Section	Violation	Willful viola- tion
236.508 Interference with ap- plication of brakes by means of brake valve	1,000	2,000	236.567 Restrictions imposed when device fails and/or is cut out en route:		
236.509 Two or more loco- motives coupled	1,000	2,000	(a) Report not made to des- ignated officer at next available point of commu- nication after automatic train stop, train control, or cab signal device fails and/or is cut en route	5,000	7,500
236.511 Cab signals controlled in accordance with block con- ditions stopping distance in advance	1,000	2,000	(b) Train permitted to pro- ceed at speed exceeding 79 m.p.h. where auto- matic train stop, train control, or cab signal de- vice fails and/or is cut out en route when absolute block established in ad- vance of train on which device is inoperative	5,000	7,500
236.512 Cab signal indication when locomotive enters blocks	1,000	2,000	(c) other violations	1,000	2,000
236.513 Audible indicator	1,000	2,000	236.568 Difference between speeds authorized by road- way signal and cab signal; action	1,000	2,000
236.514 Interconnection of cab signal system with roadway signal system	1,000	2,000	<i>Inspection and Tests; Road- way—</i>		
236.515 Visibility of cab sig- nals	1,000	2,000	236.576 Roadway element	1,000	2,000
236.516 Power supply	1,000	2,000	236.577 Test, acknowledge- ment, and cut-in circuits	1,000	2,000
<i>Rules and Instructions; Road- way—</i>			<i>Inspection and Tests; Loco- motive—</i>		
236.526 Roadway element not functioning properly	2,500	5,000	236.586 Daily or after trip test	2,500	5,000
236.527 Roadway element in- sulation resistance	1,000	2,000	236.587 Departure test:		
236.528 Restrictive condition resulting from open hand-op- erated switch; requirement	1,000	2,000	(a) Test of automatic train stop, train control, or cab signal apparatus on loco- motive not made on de- parture of locomotive from initial terminal if equipment on locomotive not cut out between initial terminal and equipped territory	5,000	7,500
236.529 Roadway element in- ductor; height and distance from rail	1,000	2,000	(b) Test of automatic train stop, train control, or cab signal apparatus on loco- motive not made imme- diately on entering equipped territory, if equipment on locomotive cut out between initial terminal and equipped territory	5,000	7,500
236.531 Trip arm; height and distance from rail	1,000	2,000	(c) Automatic train stop, train control, or cab sig- nal apparatus on loco- motive making more than one trip within 24-hour period not given depar- ture test within cor- responding 24-hour pe- riod	5,000	7,500
236.532 Strap iron inductor; use restricted	1,000	2,000	(d) other violations	2,500	5,000
236.534 Rate of pressure re- duction; equalizing reservoir or brake pipe	1,000	2,000	236.588 Periodic test	2,500	5,000
236.551 Power supply voltage	1,000	2,000	236.589 Relays	2,500	5,000
236.552 Insulation resistance	1,000	2,000			
236.553 Seal, where required	2,500	5,000			
236.554 Rate of pressure re- duction; equalizing reservoir or brake pipe	1,000	2,000			
236.555 Repaired or rewound receiver coil	1,000	2,000			
236.556 Adjustment of relay ...	1,000	2,000			
236.557 Receiver; location with respect to rail	1,000	2,000			
236.560 Contact element, me- chanical trip type; location with respect to rail	1,000	2,000			
236.562 Minimum rail current required	1,000	2,000			
236.563 Delay time	1,000	2,000			
236.564 Acknowledging time ..	1,000	2,000			
236.565 Provision made for preventing operation of pneu- matic brake-applying appara- tus by double-heading clock; requirement	1,000	2,000			
236.566 Locomotive of each train operating in train stop, train control or cab signal ter- ritory; equipped	5,000	7,500			

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APPENDIX A TO PART 236—CIVIL PENALTIES¹— Continued

Section	Violation	Willful viola- tion
236.590 Pneumatic apparatus: (a) Automatic train stop, train control, or cab sig- nal apparatus not in- spected and cleaned at least once every 736 days	2,500 1,000	5,000 2,000
(b) other violations		

Subpart F—Dragging Equipment and Slide Detectors and Other Similar Protective Devices; Standards

236.601 Signals controlled by devices; location	1,000	2,000
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¹A penalty may be assessed against an individual only for a willful violation. The Administrator reserves the right to assess a penalty of up to \$20,000 for any violation where circumstances warrant. See 49 CFR part 209, appendix A.

[53 FR 52936, Dec. 29, 1988]

PART 240—QUALIFICATION AND CERTIFICATION OF LOCOMOTIVE ENGINEERS

Subpart A—General

- Sec.
240.1 Purpose and scope.
240.3 Applicability.
240.5 Construction.
240.7 Definitions.
240.9 Waivers.
240.11 Consequences for noncompliance.
240.13 Information collection requirements.

Subpart B—Component Elements of the Certification Process

- 240.101 Certification program required.
240.103 Approval of design of individual rail-
road programs by FRA.
240.105 Criteria for selection of designated
supervisors of locomotive engineers.
240.107 Criteria for designation of classes of
service.
240.109 General criteria for eligibility based
on prior safety conduct.
240.111 Individual's duty to furnish data on
prior safety conduct as motor vehicle op-
erator.
240.113 Individual's duty to furnish data on
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240.115 Criteria for consideration of prior
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tor.
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- 240.121 Criteria for vision and hearing acu-
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ance.
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240.205 Procedures for determining eligi-
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240.209 Procedures for making the deter-
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240.211 Procedures for making the deter-
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240.213 Procedures for making the deter-
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gram.
240.215 Retaining information supporting
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240.219 Denial of certification.
240.221 Identification of qualified persons.
240.223 Criteria for the certificate.
240.225 Reliance on qualification determina-
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240.227 Reliance on qualification require-
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240.229 Requirements for joint operations
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Subpart D—Administration of the Certification Programs

- 240.301 Replacement of certificates.
240.303 Operational monitoring require-
ments.
240.305 Prohibited conduct.
240.307 Revocation of certification.
240.309 Railroad oversight responsibilities.

Subpart E—Dispute Resolution Procedures

- 240.401 Review board established.
240.403 Petition requirements.
240.405 Processing qualification review peti-
tions.
240.407 Request for a hearing.
240.409 Hearings.
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APPENDIX A TO PART 240—SCHEDULE OF CIVIL PENALTIES

APPENDIX B TO PART 240—PROCEDURES FOR SUBMISSION AND APPROVAL OF LOCO- MOTIVE ENGINEER QUALIFICATION PRO- GRAMS